

2023 SUMMIT

MARCH 29-30 | ST. PETERSBURG, FL

AGENDA *(subject to change)*

Wednesday, March 29, 2023

11:30AM – 1:00PM

Registration and Executive Networking Luncheon

1:00PM – 1:15PM

Welcome and Opening Remarks

Craig Pfeiffer, President and Chief Executive Officer, Money Management Institute

Joan Lensing, Executive Vice President, Chief Programming Officer, Money Management Institute

Conference Co-Chairs:

Jean Heath, Principal Director, Asset Management Relations, Investnet

Brian Schappert, Senior Vice President, Co-Head of U.S. Intermediary Distribution, American Century Investments

1:15PM – 1:45PM

Opening Keynote Presentation

Leading Through Critical Decision-Making During Times of Risk and Uncertainty

The impact of high-performance leadership manifests through the critical decisions that leaders and leadership teams make especially during times of high risk and uncertainty. This engaging session provides you with a proven model to approach critical decisions, especially when there is often too little – or too much – data available. Gain an understanding of the multiple behavioral dynamics and biases that leaders fail to mitigate in high-stakes decision-making and how to up your leadership game.



Yael Grushka-Cockayne

Professor of Business Administration, Darden School of Business

Introduction: Abby Salameh, Chief Marketing Officer, CAIS



1:45PM – 2:15PM

Research Speed Round

Clients, Product and Talent: Critical Trends That Will Impact Your Business

Clients, Product and Talent are three essential considerations in the delivery of investment advice and solutions. To frame our Summit discussions, a trio of leading industry researchers share their takes on the most critical trends in each of these areas – and the implications for how asset managers, wealth managers, and solutions providers should position their firms for growth, profitability, and success in the rapidly evolving advisory landscape.

- Tyler Cloherty**, Managing Director, Head of the Strategy and Analytics’ Knowledge Center, Deloitte
- Tim Kresl**, Principal, Distribution Insight, Broadridge
- Daniil Shapiro**, Director, Product Development, Cerulli Associates

2:15PM – 2:45PM

Data-Driven Marketing: How CMOs Are Challenging the Status Quo in Financial Services

In today's saturated market, effective marketing requires a strategic approach that leverages data and analytics, reimagines creative and content, and fosters digital innovation. For financial services firms with their vast scale, significant marketing spend, and access to customer data, hyper-personalization is the key to success. But are financial services firms keeping pace with other industries in terms of their marketing strategies? What can we learn from the experiences of other sectors? Join us for a candid discussion with two innovative CMOs who will share their insights on how to create marketing strategies that challenge the status quo, improve the customer experience, and drive ROI. Discover the benefits, challenges, and best practices for implementing a modern marketing strategy that will help your firm stay ahead of the curve.

- Mary Ellen Dugan**, Chief Marketing Officer, Envestnet
- Josh Golden**, Chief Marketing Officer, Quad

2:45PM – 3:15PM

Refreshment and Networking Break

3:15PM – 3:55PM

Engaging with Advisors: The New Rules of the Road

Ask any asset management distribution professional, and he or she will tell you that the biggest challenge they – and their teams – face today is getting access to financial advisors. In this session, hear straight from an advisor, a branch manager, and a home office gatekeeper what they are looking for from asset manager partners in the current environment. Our panelists will share what works – and what doesn't – to get you in the door, tips for successful engagement, and how smaller asset managers can work with them.

Moderator:

John McDonough, Head of U.S. Wealth Management Intermediaries Distribution, Invesco

Panelists:

- Brian Kilczewski**, Senior Vice President, Branch Manager, Wells Fargo Advisors
- Bill Marsh**, Managing Principal, Financial Consultant, Capstan Financial Consulting Group, LLC
- Tom Thornton**, Research Director, Asset Management Services, Raymond James



4:05PM – 4:45PM

Concurrent Round Table Discussions: Marketing & Data Enablement

Ready to delve deeper with your industry colleagues? Our first set of small-group Round Table Discussions focuses on all aspects of data-enabled marketing. Wherever your firm is in the journey, this is your chance to discuss successes, challenges, use cases, and much more. Choose the topic that resonates the most with you and join a table of your peers for a candid download of information, ideas, and inspiration.

- ***The modern role of marketing in growing and retaining AUM***
Discussion Leaders:
Neil Bathon, Managing Partner, FUSE Research Network
John Hackett, Chief Marketing Officer, Thornburg Investment Management
- ***Lead generation – focusing on quality over quantity***
Discussion Leaders:
Patty Quinn McAuley, Senior Vice President, Head of Marketing, Clark Capital Management Group
Matt Schiffman, Principal, Distribution Insight, Broadridge
- ***Technology advances and the future of marketing – separating myth from reality***
Discussion Leaders:
Maureen Bromwell, Chief Marketing Officer, Northern Trust Asset Management
Kelly Vives, Chief Marketing and Communications Officer, Allspring Global Investments
- ***Getting started – implementing a data-driven marketing strategy***
Discussion Leaders:
Alex Golub-Sass, Principal, Distribution Insight, Chief Data Scientist, Broadridge
Vanessa Touma, Head of Client Strategy & Digital Sales, Invesco

4:55PM – 5:35PM

Concurrent Round Table Discussions: Engaging with Advisors and Gatekeepers

Our next group of Round Table Discussions address effective ways to engage with financial advisors and platform gatekeepers. Pick a topic and do a deep dive with a small group of your industry colleagues.

- ***Is everyone now a hybrid? – reskilling, upskilling, and rethinking traditional distribution roles***
Discussion Leaders:
Ronice Barlow, Senior Vice President, Co-Head of U.S. Retail Sales, Franklin Templeton
David Chorba, Managing Director, National Sales Manager, Macquarie Asset Management
- ***Making asset management partnerships work for both sides***
Discussion Leaders:
Matt Goulet, Head of Asset Manager Services & Business Development, Fidelity Investments
Pete Thatch, Senior Vice President, Director of National Accounts, Capital Group
- ***RIA consolidators – understanding their different business models and what they look for in partners***
Discussion Leaders:
Drew O’Hearn, Senior Director, Account Management, Cerulli Associates
Mark Spina, President and Chief Operating Officer, FLX Networks



- **Covering professional buyers – the blurring lines between large practice and home office decision makers**

Discussion Leaders:

Jim Devaney, U.S. Head of Distribution, PGIM Investments

Anne Steer, Head of Distribution, Congress Asset Management

5:45PM – 7:30PM

Evening Reception and Networking

Relax and reconnect with industry friends and colleagues during a special outdoor reception at the historic Vinoy® to cap the first day of the Summit. We'll provide the cocktails, tasty "Floridian" fare, and good company. Afterwards, the sights and sounds of St. Pete and nearby Tampa await those who want to explore the local area.

Thursday, March 30, 2023

7:30AM – 8:15AM

Networking Breakfast

8:15AM – 8:25AM

Opening Remarks

Conference Co-Chairs:

Jean Heath, Principal Director, Asset Management Relations, Envestnet

Brian Schappert, Senior Vice President, Co-Head of U.S. Intermediary Distribution, American Century Investments

8:25AM – 8:40AM

President's Update

Craig Pfeiffer provides an update on MMI's strategic areas of focus and key initiatives on behalf of member firms and the investment advisory industry.

Craig Pfeiffer, President and Chief Executive Officer, Money Management Institute

8:40AM – 9:05AM

Executive Fireside Chat

Where are we headed as an industry? Join us for a candid conversation on what the industry is getting right – and where it can do better. Discover ways you can think differently to deliver cutting-edge strategies, bring unparalleled customization and flexibility at scale, and ensure your people are up for the challenges of tomorrow.

Roland Kastoun, Asset and Wealth Management Consulting Solutions Leader (U.S.), PwC

Craig Pfeiffer, President and Chief Executive Officer, Money Management Institute

9:05AM – 9:45AM

The Talent Imperative: Reimagining Today's Challenges for a More Productive Tomorrow

Today's business leaders are being confronted with a broad range of human capital challenges. The transition over the past three years from working fully in-office, to entirely remote, and now – in many



instances – to a hybrid model, has caused repercussions across our workforce. Leading effectively in 2023 requires strategies that address the demand for flexible work arrangements, a tight labor market, escalating talent costs, and DEI concerns. This session starts with a review of the macro landscape, and then you'll hear from a panel of experts on their own best practices and what they have seen as effective measures in the critical areas of talent acquisition, retention, and development.

Moderator:

Tyler Cloherty, Managing Director, Head of the Strategy and Analytics' Knowledge Center, Deloitte

Panelists:

John Halaby, Executive Vice President, Head of Distribution, Harbor Capital

Monica Patel, Head of Human Resources, Americas, Invesco

Lauren Ziadie, Executive Director, Head of Women Without Limits, Morgan Stanley

9:45AM – 10:15AM

The Evolution of Investment Advisory Product: Innovation & Continuous Improvement

With holistic wealth management, customization, and values alignment increasingly in demand by investors, how are organizations evolving product strategy across the advisory value chain? In this session, two senior industry executives provide a look ahead at the next evolution of advisory product. Hear how they are reimagining Product as a strategic asset for firms and modernizing the approach to providing solutions to meet client demands for today and the future.

Cheri Belski, Head of Global Product, T. Rowe Price

Stephen Patrickakos, Head of Managed Investments, Bank of America Merrill Lynch

10:15AM – 10:30AM

Refreshment and Networking Break

10:30AM – 11:10AM

Concurrent Round Table Discussions: Trends in Investment Advisory Product

Our third set of Round Table Discussions explores developments on the product side of the advisory business. There is a lot to review and discuss. Select a topic and get ready for a free-flowing exchange with a table of your industry counterparts.

- ***Demystifying personalization – a product solution, a technology solution, an experience, or something else?***

Discussion Leaders:

Randy Bullard, Global Head of Wealth, Charles River Development

Brendan Powers, Director, Product Development, Cerulli Associates

- ***Alternative investments – areas of opportunity in 2023***

Discussion Leaders:

Parker Roy, Chief Revenue Officer, Axxes Capital

Daniil Shapiro, Director, Product Development, Cerulli Associates

- ***ESG at a crossroads – future trends and expectations***

Discussion Leaders:

Edward Allen, Managing Director, Head of ESG & Climate Client Coverage – Americas, MSCI

Garrett Cox, Global Head of Product & Investor Marketing, Northern Trust Asset Management



- **Customized SMAs – the next frontier in personalized portfolios?**

Discussion Leaders:

Sam Marciano, Head of SMA Distribution, Franklin Templeton

Russell Tipper, General Partner, Investment Advisory, Edward Jones

11:20AM – 12:00PM

Concurrent Round Table Discussions: Effective Talent Strategies

For our final group of small-group conversations, we have saved a set of topics that are critical for business and team leaders across the advisory industry – namely, dealing with the talent challenges brought on by the pandemic, the Great Resignation, Quiet Quitting, and today’s hybrid work model. Choose your biggest pain point, pull up a chair, and be prepared to cross-pollinate ideas with other leaders who are wrestling with similar challenges.

- **Acquiring talent in a tight labor market – how to position your firm as a destination for top talent**

Discussion Leaders:

Rocco Benedetto, Executive Vice President, Head of U.S. Retail Distribution, Invesco

Brad Jung, Head of North America, Advisor & Intermediary Solutions, Russell Investments

- **Re-engineering retention – current trends behind transitions and how to thoughtfully defend your firm from turnover**

Discussion Leaders:

Kathy Freeman, Founder and President, Kathy Freeman Company

Karen Lutomski, Senior Managing Director, Co-Head of Private Wealth, Nuveen

- **Talent development and engagement – maximizing coaching & development to elevate your workforce**

Discussion Leaders:

Michael Galkoski, National Sales Manager, U.S. Wealth Management, ETF & SMA Distribution, American Century Investments

Monica Patel, Head of Human Resources, Americas, Invesco

- **Moving the DEI needle – how to become more intentional and effective with DEI initiatives amid a volatile jobs market**

Discussion Leaders:

Josean Fernandez, Director of National Accounts, Institutional Marketing, Ariel Investments

Lauren Ziadie, Executive Director, Head of Women Without Limits, Morgan Stanley

12:10PM – 12:40PM

Closing Keynote Presentation

Megatrends in Data, Tech, Space and Geopolitics for 2030, 2040 and 2050

Given our rapidly changing world, business leaders have an imperative to be positive “change agents” and help their organizations go beyond the status quo. The 7 billion networked devices on the planet in 2013 doubled to 14 billion in 2015, and 2025 is forecast to have more than 75 billion networked devices globally relative to only 8.3 billion people on the planet. The amount of data is also growing exponentially, so much that estimates suggest that by 2025 there will be more data than three times all the conversations we ever had for the entire history of human species. With these rapid changes, the nature of leadership is also changing. This requires recognition of the exponential technology trends that have been growing in such fields as data, tech, space, and geopolitics. This presentation will provide you with awareness of the potential trends for 2030, 2040, and 2050 as well as action-oriented ways to be bold, brave, and benevolent for the future ahead.



Dr. David A. Bray

Distinguished Fellow, Henry L. Stimson Center
Non-Resident Distinguished Fellow, Business Executives for National Security

Introduction: Denise Wypiszewski, Founder and Co-Chief Executive Officer, 4U Platform

12:40PM – 12:45PM

Conference Co-Chairs:

Jean Heath, Principal Director, Asset Management Relations, Envestnet

Brian Schappert, Senior Vice President, Co-Head of U.S. Intermediary Distribution, American Century Investments